



Continuity of Operations Plan (COOP) Webinar

March 31, 2015

"A Prepared Marylander Creates a Resilient Maryland"

Presenters

- ▶ Colleen O'Brien, National Capital Region Planner
- ▶ James Tully, Training and Exercise Administrator
- ▶ Elizabeth Webster, Adaptive Planning Branch Manager



Welcome

- ▶ Brendan McCluskey, Director of Preparedness



Webinar Objectives

- ▶ Understand the **benefits** of COOP planning and maintaining a COOP program
- ▶ Discuss **needed updates** to State agency COOP plans following the Inauguration
- ▶ Review the Emergency Management Accreditation Program **(EMAP) COOP requirements**
- ▶ Present the new Maryland COOP Homeland Security Information Network **(HSIN) website** for managing and maintaining the Maryland COOP Program



Agenda

COOP
Overview

Plan
Maintenance

EMAP
Requirements

HSIN COOP
Website



Webinar

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Continuity of Operations Defined

- ▶ COOP is an **effort** within an organization to ensure that its **essential functions continue** to be performed during a wide range of emergencies until normal operations can be resumed



What is a COOP Event?



- ▶ Loss of **access to a facility** (in whole or in part)
 - *e.g.*, following a fire



- ▶ Loss of **services** due to a **reduced workforce**
 - *e.g.*, during pandemic influenza



- ▶ Loss of **services** due to **equipment or systems failure**
 - *e.g.*, IT systems failure



Why Have a COOP Plan?



- ▶ Provide a **framework** that **ensures essential functions and services will continue** to operate and be provided.
- ▶ **Support resuming and sustaining operations** for a period up to 30 days, until the normal operations resume.
- ▶ **Executive Order 01.01.2013.06** (Maryland Emergency Preparedness Program) **requires every State agency** to develop and maintain a **COOP plan**.



Benefits of COOP Planning

- ▶ Enables an agency to **maintain "business as usual"** despite disruptive events
- ▶ Allows an agency to **anticipate events** and necessary **response actions**
- ▶ **Improves performance** through the identification of agency essential functions that must be supported in an emergency
- ▶ **Improves communication** to support essential functions throughout the agency

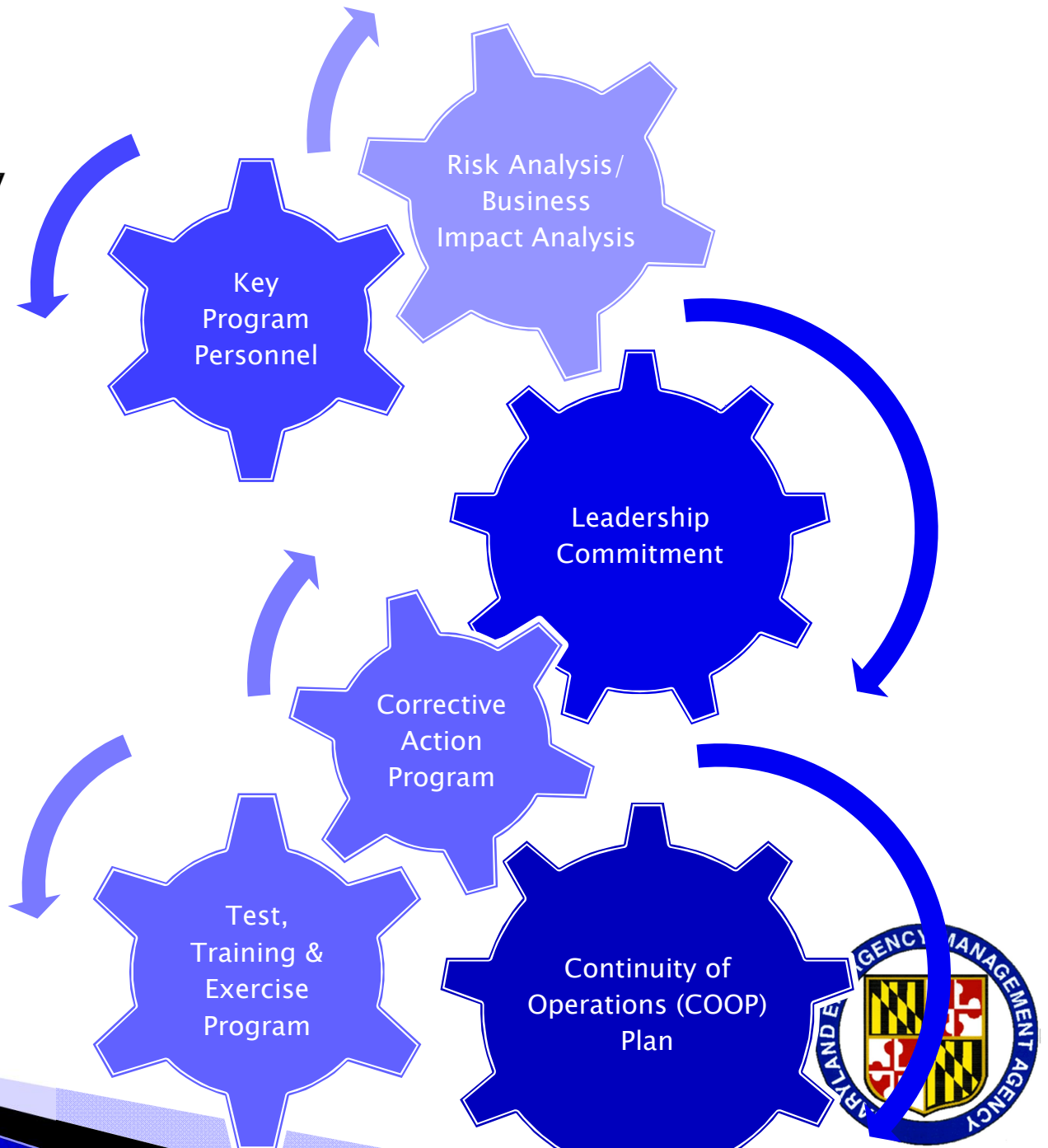


Benefits of COOP Planning Cont'd.

- ▶ **Protects** the interests of an agency's **customers**
- ▶ **Protects** agency **staff** from job loss
- ▶ **Protects** agency **data** and **information** needed to continue operations
- ▶ **Good business practice**



Elements of a Continuity Program



COOP Plan Objectives

- ▶ Ensure the **safety and security** of staff and visitors
- ▶ Enable staff to perform **essential functions**
- ▶ Identify **essential personnel** for performing essential functions
- ▶ Ensure an **alternate facility** can support essential functions
- ▶ Facilitate the **timely resumption of services**



Elements of a COOP Plan

- ▶ COOP is about supporting **Essential Functions**
- ▶ Plan elements that support essential functions include:
 - Orders of Succession
 - Delegations of Authority
 - Notification/
Communications
 - Vital Records
 - Staff Considerations
 - Alternate Facilities/
Telework
 - Devolution
 - Reconstitution



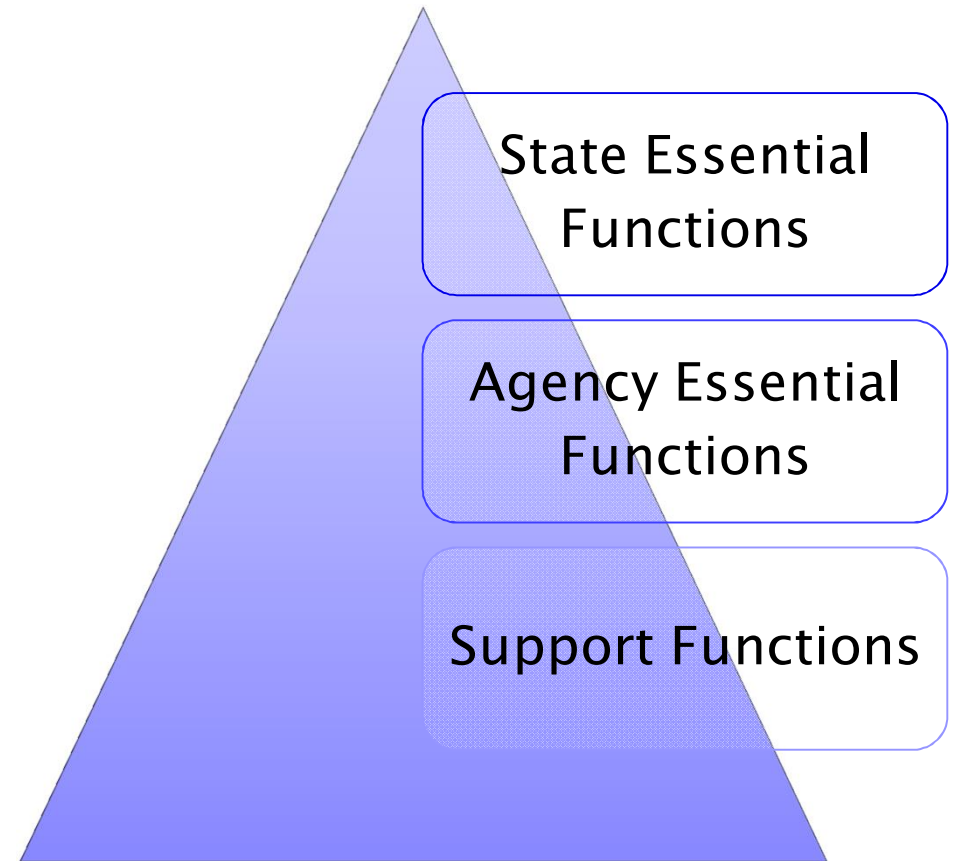
Essential Functions

- ▶ Essential Functions defined:
 - An organization's important or urgent **activities** and **business functions** that **must continue** with **no or minimal interruption** under all circumstances.
- ▶ Why it is important:
 - Enables the organization to **accomplish its mission**.
 - Enables an organization to **identify** and **prioritize** resource and personnel **needs** for continuity.



Essential Functions Hierarchy

- ▶ The State has essential functions of **government**.
- ▶ Each State agency has essential functions that should **support the State's** essential functions of government.
- ▶ Each State agency also has **internal** essential functions that are critical to each agency's ability to function.
- ▶ **Support functions** should also be identified to **enable** the performance of essential functions.



Orders of Succession

- ▶ Orders of Succession defined:
 - The **positions** within an agency **that can assume senior agency positions** in the event that senior officials are unavailable/unable to execute their duties.
- ▶ Why it is important:
 - Provides for the **orderly, predetermined assumption of senior agency positions** during an emergency.



Orders of Succession Example

Key Position	Successor 1	Successor 2	Successor 3
MEMA Executive Director	Director of Administration	Director of Preparedness	Director of Operations
Director of Administration	Grants Manager	Chief Financial Officer	Public Assistance Officer
Director of Preparedness	External Outreach Branch Manager	Active Learning & Exercise Branch Manager	Adaptive Plans Branch Manager
Director of Operations	MJOC Manager	SEOC Manager	RLO Program Manager



Delegations of Authority

- ▶ Delegations of Authority defined:
 - The **grant of authority** established prior to a COOP event, which is the basis for allowing a person to assume the authority to perform the duties of an absent senior staff member.
- ▶ Why it is important:
 - **Specifies** the **activities** that may be performed by those authorized to act on behalf of the senior officials.
 - Documents the **legal authority** for officials to make key policy decisions during a continuity situation.
 - Allows for the **quick, uninterrupted performance** of leadership duties.



Notification/Communications: With Staff



- ▶ COOP plan activation and other information should be disseminated to staff
 - How does your agency disseminate such information? (e.g., via **email** or **phone**)
 - Do you have staff email and phone number information on hand or can contact information be easily accessed?
 - Other means?



Notification/Communications: With Internal and External Partners

- ▶ How do you communicate with internal and external agencies and partners/stakeholders?
- ▶ Are your means of communication redundant and resilient?
- ▶ How quickly are they available?
- ▶ Are they sustainable for 30 days?



Vital Records

- ▶ Vital Records Defined:
 - An agency's **vital data** required for performing essential functions, which should be maintained on secure systems and backed up on redundant servers.
- ▶ Why it is important:
 - Essential to the **continued functioning** of the organization.



Key Personnel

- ▶ Key Personnel defined:
 - Personnel who are necessary to perform essential functions, including:
 - Agency **Leadership**
 - **Staff** who regularly perform the essential functions, or who have special knowledge or expertise
- ▶ COOP plans must identify key personnel, and ways to ensure they are able to continue performing essential functions.



Staff Considerations: Roles & Responsibilities

- ▶ Understand continuity roles/responsibilities
- ▶ Be willing to perform duties as assigned to ensure the agency can continue its essential functions
- ▶ Ensure critical documents are backed up and/or protected
- ▶ Take technology home, if appropriate
- ▶ Attend training related to performing continuity duties
- ▶ Ensure family members are prepared/taken care of



Staff Considerations: Personal Preparedness

- ▶ Staff should be encouraged to engage in **personal preparedness**:

- Create a **Go Kit**
 - Visit Ready.gov
- Develop a **family emergency plan**



Alternate Facilities

- ▶ Alternate Facilities defined:
 - A **location, other than the primary facility**, where essential functions can be performed during a COOP event.
 - The location **depends on the nature of the event**:
 - A location in **another part** of the primary facility
 - **Remote** from the primary facility
- ▶ Why it is important:
 - Provides a place for essential functions to be performed.



Alternate Facilities & Teleworking

- ▶ What is your alternate site plan?
 - Do you have an **MOU** with the agency you are relying on?
 - *If you don't you may not be able to use that site.*
- ▶ Where should staff report?
 - Can some staff **telework**?
 - Are there staff that must report **in-person**?



Devolution

- ▶ Devolution defined:
 - A **different agency** will **perform** your agency's essential functions, in the event that your agency cannot be reached, **until** the your agency can **re-assume** its duties.
- ▶ Why it is important:
 - **Ensures continuity** of essential functions.



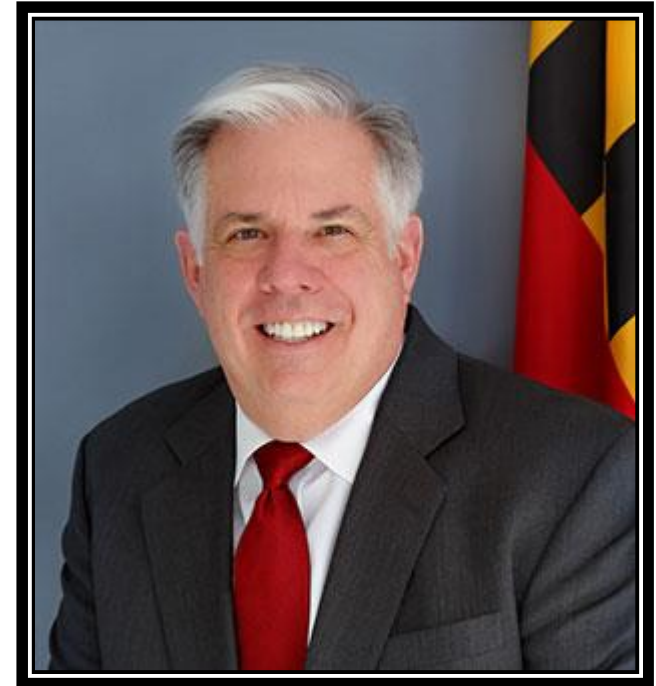
Reconstitution

- ▶ Reconstitution defined:
 - The **process** by which agency personnel **resume normal operations** at the primary operating facility.
 - *Note: Reconstitution should **start immediately***
- ▶ Why it is important:
 - Reconstitution activities begin with the activation of the COOP plan, in order to **ensure the return to normal operations as quickly as possible.**



Parts of your COOP plan that *may* have changed in January 2015

- ▶ Essential Functions
- ▶ Leadership and Essential Personnel
 - Personnel contact information
 - Emergency alerting information
- ▶ Orders of Succession
- ▶ Delegations of Authority
- ▶ Notification/Communications
- ▶ Alternate Facilities/Telework



Webinar

COOP Overview

Plan Maintenance

EMAP
Requirements

HSIN COOP
Website



Maintaining the Plan



The State of Maryland

Executive Department

EXECUTIVE ORDER
01.01.2013.06

Maryland Emergency Preparedness Program
(Rescinds Executive Order 01.01.1991.02)

WHEREAS, State emergency preparedness is measured by the homeland security and emergency management capability of State agencies, as they work together to save lives, protect property, and protect the environment of the State of Maryland;

WHEREAS, The mission of the Maryland Emergency Management Agency, a Center for Preparedness Excellence, is to ensure that Maryland families, communities, and key stakeholders are provided the tools they need to prepare for, mitigate against, respond to, and recover from the consequences of emergency and disaster events;

WHEREAS, To carry out this mission, Maryland's homeland security and emergency management responsibilities are comprised of the four mission areas of prevention and protection, hazard mitigation, incident response, and disaster recovery;

WHEREAS, The Maryland State Police is the lead agency for carrying out the mission area of prevention and protection from criminal activity and terrorist attacks;

WHEREAS, The Maryland Emergency Management Agency is the lead agency for carrying out the mission areas of hazard mitigation, incident response, and disaster recovery;

WHEREAS, It is necessary to update Maryland's program for homeland security and emergency management mission areas within the State of Maryland, and;

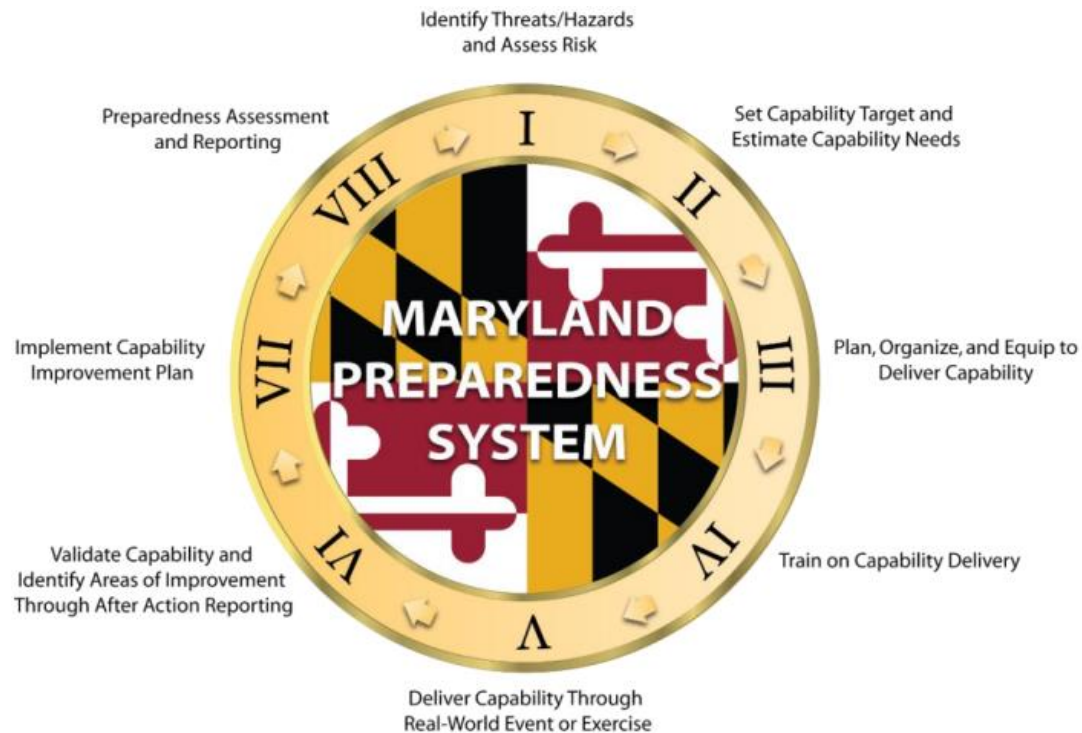
WHEREAS, To empower and assign appropriate agencies with the necessary authority to set targets for homeland security and emergency management capabilities; estimate the needs required to use, plan, organize, equip, train, and exercise those capabilities; conduct after-action review of the implementation of the capabilities; and make continuous improvement in each capability area.

► Update bi-annually or as needed

- Executive Order 01.01.2013.06 (Maryland Emergency Preparedness Program) requires every State agency to develop and maintain a COOP plan, which is to be updated every 2 years at a minimum.



Maintaining the Plan Cont'd.



- ▶ Use the MEPP Strategic Plan **Maryland Preparedness System Cycle** to maintain, update, and improve COOP plans (available on MEMA's website)
- ▶ Consider offering regular staff **training**



Maintaining the Plan Cont'd.

Activity	Tasks	Frequency
COOP plan update and certification	<ul style="list-style-type: none"> Review entire plan for accuracy. Incorporate lessons learned and changes in policy and philosophy. Manage distribution. 	Annually
Maintain orders of succession and delegations of authority	<ul style="list-style-type: none"> Identify current incumbents. Update rosters and contact information. 	Semiannually
Maintain alternate location readiness	<ul style="list-style-type: none"> Check all systems. Verify accessibility. Cycle supplies and equipment, as necessary. Maintain point of contact information. 	Monthly
Monitor and maintain vital records program	<ul style="list-style-type: none"> Monitor volume of materials. Update and remove files. 	Ongoing
Revise COOP checklists and contact information for essential personnel	<ul style="list-style-type: none"> Update and revise COOP checklists. Confirm and update essential personnel information. 	Annually



Webinar

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HSIN COOP
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What is EMAP?

- ▶ Emergency Management Accreditation Program (EMAP) defined:
 - The voluntary standards, assessment, and **accreditation process for disaster preparedness programs** that applies credible standards in a peer review accreditation process.
- ▶ State of Maryland is EMAP accredited



EMAP Requirements: COOP Plans Shall...

- ▶ Be **developed with stakeholders** and provide for regular **review and updates**. (4.6.1)

- ▶ Contain the following **elements**: (4.6.2)
 - Purpose, scope, and/or goals and objectives
 - Authority
 - Situation and assumptions
 - Functional roles and responsibilities
 - Logistics support to implement the plan
 - Concept of operations
 - Plan maintenance



EMAP Requirements: COOP Plans Shall (4.6.5)...

- ▶ Identify and describe how **essential functions** will be continued and recovered in an emergency or disaster.
- ▶ Identify **essential positions** and **lines of succession**.
- ▶ Provide for the **protection** or safeguarding of critical applications, communications resources, **vital records**/databases, process and functions that must be maintained during response activities.
- ▶ Identify and **prioritize** applications, records, processes and **functions to be recovered** if lost.
- ▶ Address **alternate** operating capability and **facilities**.



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COOP Overview

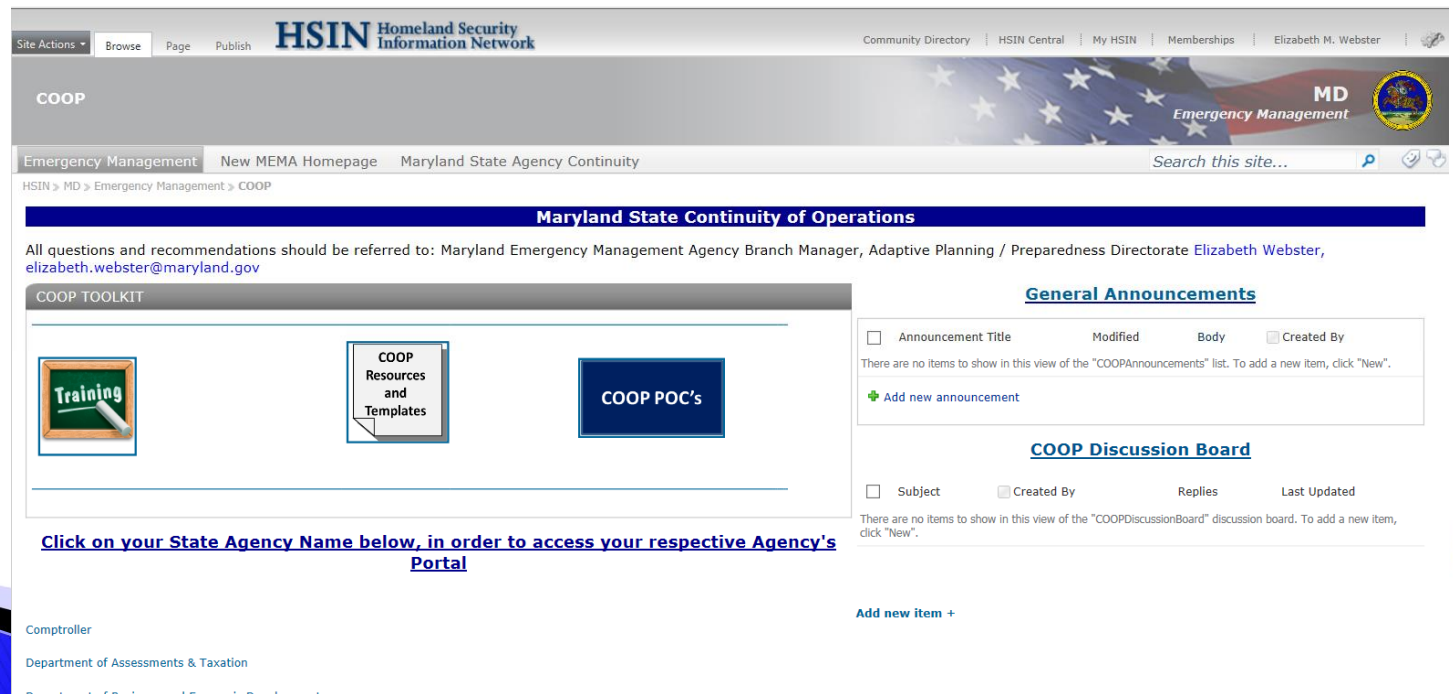
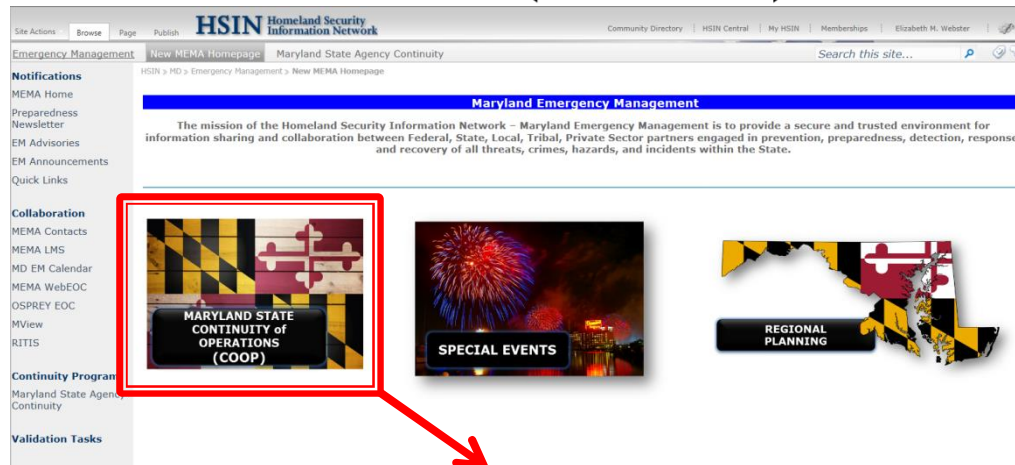
Plan Maintenance

EMAP
Requirements

HSIN COOP
Website



Homeland Security Information Network (HSIN) Website Overview



COOP Program Management Using HSIN

- ▶ Each agency has a dedicated page to:
 - **Save** a copy of the agency's **COOP plan**
 - Maintain information on the **COOP POC**
- ▶ Access to each agency COOP page is limited to the designated COOP POC
- ▶ The COOP site provides access to:
 - **Webinars**
 - Plan **Templates**
 - **Best Practice** Guidelines
- ▶ The COOP site allows COOP POCs to:
 - **Share information** and **coordinate** using the Discussion Board
 - Post **announcements**



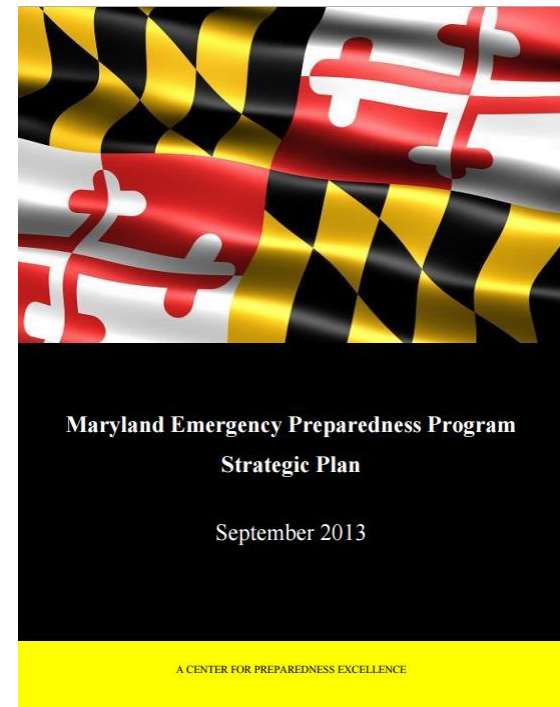
Logging Into HSIN

- ▶ Be **nominated** for a MD–EM account
 - Notify Elizabeth Webster to request site permission, if needed
- ▶ **Create an account**
 - Notify Elizabeth Webster to be put into the special permission group for the Maryland COOP site (the site access is limited to the COOP POCs for each agency)
- ▶ *Note: works best in Internet Explorer or Firefox when HSIN is a “trusted” site*



Resources

- ▶ Maryland COOP HSIN website – coming soon
- ▶ MEPP Strategic Plan –
http://mema.maryland.gov/community/Documents/2013_MEPP_StratPlan_SIGNED.pdf
- ▶ MEMA COOP planning resources –
<http://mema.maryland.gov/community/Pages/coop.aspx>



Thank You! Questions?

<http://mema.maryland.gov>



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